



NATIONAL ENDOWMENT FOR THE

Humanities

DIVISION OF PRESERVATION AND ACCESS

HUMANITIES COLLECTIONS AND REFERENCE RESOURCES

Deadline: July 21, 2015 (for projects beginning May 2016)

Catalog of Federal Domestic Assistance (CFDA) Number: 45.149

Items referred to in this document needed to complete your application:

- ☐ Budget instructions
- ☐ Budget form
- ☐ Grants.gov application package and instructions

Also see the **application checklist** at the end of this document.

Questions?

Contact the staff of NEH's Division of Preservation and Access at preservation@neh.gov and 202-606-8570. Hearing-impaired applicants can contact NEH via TDD at 1-866-372-2930.

Submission via Grants.gov

All applications to this program must be submitted via Grants.gov. NEH strongly recommends that you complete or verify your Grants.gov registration at least two weeks before the application deadline, as it takes time for your registration to be processed.

System for Award Management Entity records

The Federal Funding Accountability and Transparency Act (FFATA) requires federal agencies to make information about the expenditure of tax funds available to the public. To facilitate this, the applicant organization must maintain current information in its Entity record in the System for Award Management (SAM). You must therefore review and update the information in your Entity record at least annually after the initial registration, and more frequently if required by changes in your information or another award term. In order for you to apply for an award via Grants.gov, receive an award, or receive payment on an award, the information in your Entity record must be current. You can update your organization's Entity record [here](#). You may need a new SAM User Account to register or update your Entity record. NEH strongly recommends that applicants update (or, if necessary, create) their SAM Entity record at least four weeks before the application deadline.

I. Program Description

The Humanities Collections and Reference Resources (HCRR) program supports projects that provide an essential underpinning for scholarship, education, and public programming in the humanities. Thousands of libraries, archives, museums, and historical organizations across the country maintain important collections of books and manuscripts, photographs, sound recordings and moving images, archaeological and ethnographic artifacts, art and material culture, and digital objects. Funding from this program strengthens efforts to extend the life of such materials and make their intellectual content widely accessible, often through the use of digital technology. Awards are also made to create various reference resources that facilitate use of cultural materials, from works that provide basic information quickly to tools that synthesize and codify knowledge of a subject for in-depth investigation.

HCRR offers two kinds of awards: 1) for implementation and 2) for planning, assessment, and pilot efforts (*HCRR Foundations grants*).

Implementation grants

Applications may be submitted for projects that address one or more of the following activities:

- arranging and describing archival and manuscript collections;
- cataloging collections of printed works, photographs, recorded sound, moving images, art, and material culture;
- providing conservation treatment for collections, leading to enhanced access;
- digitizing collections;
- preserving and improving access to born-digital sources, including the updating of existing digital resources;

- creating oral history interview collections about war and military service in conjunction with NEH's Common Good initiative (see below);
- developing databases, virtual collections, or other digital resources to codify information on a subject or to provide integrated access to selected humanities materials;
- creating encyclopedias;
- preparing linguistic resources, such as historical and etymological dictionaries, corpora, and reference grammars (separate funding is available for [endangered language projects](#) in partnership with the National Science Foundation);
- producing resources for spatial analysis and representation of humanities data, such as atlases and geographic information systems (GIS); and
- developing digital tools to facilitate use of specific humanities collections or resources.

Because ensuring the longevity of humanities sources is critical to enabling their ongoing use, applicants may request support for implementing preservation measures, such as reformatting (including microfilming), rehousing, or item-level stabilization procedures, in the context of projects that also create or enhance access to humanities collections.

Applicants seeking support for projects that focus on purchasing storage furniture and rehousing collections, improving environmental conditions (including the installation of climate control systems), and installing security, lighting, and fire-prevention systems should consult the [Sustaining Cultural Heritage Collections](#) program.

Major studies of cultural heritage repositories have cited **sound recordings and moving images** as formats that are seriously endangered. This grant program encourages applications that address the need to preserve and access such sources. Applicants may request funds to assess or establish intellectual and physical control of such materials as well as to digitize them.

Applications may address the holdings or activities of a single institution or may involve collaboration. In all cases, projects should be designed to facilitate sharing, exchange, and interoperability of humanities information and products.

HCRR Foundations grants

To help in the formative stages of initiatives to preserve and create access to humanities collections or to produce reference resources, *Foundations* grants support collaborative planning, assessment, and pilot activities that incorporate expertise from a mix of professional domains. Drawing upon the cooperation of humanities scholars and technical specialists, these projects might encompass efforts to prepare for establishing intellectual control of collections, to solidify collaborative frameworks and strategic plans for complex digital reference resources, or to produce preliminary versions of online collections or resources.

Foundations grants may be used to address one or a combination of the following activities:

- analyzing and evaluating the humanities content strengths, intellectual control requirements, and preservation needs of significant humanities collections, including the development and distribution of collection-level descriptive information (projects to process or catalog collections at more detailed levels should apply instead for an implementation grant);
- identifying and prioritizing humanities materials for digitization, developing project-specific selection criteria, evaluating technical requirements for digital preservation and access, reformatting test-bed items, and/or exploring third-party service arrangements;
- developing plans and protocols for ensuring the preservation of previously digitized or born-digital humanities content, which could include preliminary testing and evaluation of institutional and/or distributed digital repository systems; or
- creating editorial plans, locating and assembling resources, devising strategies for technological and programmatic sustainability, and producing content exemplars for reference resources such as encyclopedias, databases, virtual archives, etymological dictionaries, or online atlases.

See the sample application narratives and Frequently Asked Questions document, all of which are available on the [program resource page](#), for further information about the possible uses of *Foundations* grants.

Foundations projects must encompass a substantial amount of cross-domain participation, typically involving persons with humanities expertise, curatorial experience, and relevant technical skills, such as collection processing and preservation, audiovisual reformatting, metadata creation, or digital preservation. *Foundations* projects should be at no less than a “beta” level of development upon application, demonstrating that the very first stages of effort—for example, initial collections appraisal and accessioning, conceptualization of scope and audience for reference resources, or consortium partner contact and cooperation—have been achieved. Because pilot activities can be crucial to the ultimate success of preservation and access initiatives, applicants are urged to incorporate the creation of test-case products that will inform planning and evaluation.

Successful completion of a *Foundations* project is not a prerequisite for implementation support in this grant program. Also, while *Foundations* awardees may choose to apply later for support at the implementation level, they are not required to do so. Project outcomes for *Foundations* awards must be clearly identified in the application. These could include, for example, the following:

- detailed evaluation reports to guide decision making for preserving and creating access to humanities collections;
- descriptions of prioritized sources and technical requirements for future digitization;
- strategic planning documents for digital preservation efforts; or

- editorial policy, procedure, and scheduling guidelines; tables of contents; and sustainability and dissemination plans for reference resources.

Foundations awardees will be required to submit such grant products to NEH, along with a “white paper” documenting lessons learned, so that others can benefit from the grantees’ experience. White papers will be posted on the NEH website for open access. Pilot projects should make resulting content available in accordance with NEH’s policy on providing access to grant products. (See the discussion at the end of Section I of these guidelines.)

The Common Good: The Humanities in the Public Square

NEH invites projects related to its new initiative, The Common Good: The Humanities in the Public Square. This initiative seeks to connect the study of the humanities to the current conditions of national life. Many of today’s challenges require more than ever the forms of understanding and knowledge represented by the humanities. They require the broadest possible engagement of scholars and the public with the resources of the humanities, including but not limited to the study of language, literature, history, philosophy, comparative religion, and ethics. The study of the humanities can help illuminate the complexity of many contemporary challenges while enriching our understanding of the common good.

Note that the Common Good initiative incorporates the [Standing Together](#) initiative, which encourages projects related to war and military service.

In conjunction with the Common Good initiative, applicants to HCRR may request support to create, preserve, and make available oral history interviews with individuals who can provide eyewitness insights on the experience of war—actual military experience, and/or the impact of war on the American home front during wartime and its aftermath. Informants could include veterans, family members, and others, such as local officials or employees of military bases and industries in places in which the experience of war and its consequences were or are deeply felt.

More information about the Common Good initiative is available [here](#).

All applications will be given equal consideration in accordance with the program’s evaluation criteria (listed below in Section V of these guidelines), whether or not they respond to the Common Good initiative or the Standing Together initiative.

Humanities Collections and Reference Resources grants may not be used for

- the acquisition of collections, including appraisal for acquisition or monetary purposes;
- the restoration of historic structures, the preservation of the built environment, or the stabilization of archaeological sites;
- the preservation, organization, or description of materials that are not regularly accessible for research, education, or public programming;
- the digitization of United States newspapers (applicants interested in such projects should consult the [National Digital Newspaper Program](#));
- the creation of oral histories other than those specified above;

- the creation of tools and reference works designed *exclusively* for classroom instruction;
- the creation of scholarly editions and translations (which NEH supports through its [Scholarly Editions and Translations](#) program; see the FAQ document for information about permissible translation work in HCRR projects);
- scholarly or public conferences (which NEH supports through its [Collaborative Research](#) program);
- the creation of selective compilations of primary sources in print or digital form, when such works are developed primarily as an adjunct to interpretive research (NEH supports such compilations through its [Collaborative Research](#) program);
- the support of projects to document endangered languages (applicants interested in such projects should consult [Documenting Endangered Languages](#));
- GIS projects for civic planning or resource management;
- institutional records management; or
- projects that seek to promote a particular political, religious, or ideological point of view or that advocate a particular program of social action.

Applicants seeking support for initial preservation assessments and other basic steps in collections care should consult the [Preservation Assistance Grants for Smaller Institutions](#) program. Projects that focus on serving the preservation and access field more generally by developing new standards, practices, methodologies, workflows, and tools for preserving and creating access to humanities collections are eligible for support through NEH's [Research and Development](#) grants. Applicants seeking primarily to develop prototypes of new digital tools or to explore innovative uses of technology for a variety of purposes not limited to preservation and access should consult the [Digital Humanities Start-Up Grants](#) program in the Office of Digital Humanities.

Previously funded projects

An institution whose project has received NEH support may apply for a grant for a new or subsequent stage of that project. These proposals receive no special consideration and will be judged by the same criteria as others in the grant competition. In addition, these proposals must be substantially updated and must include a description of the new activities and a justification of the new budget. The applicant must also describe how the previously funded project met its goals.

Providing access to grant products

As a taxpayer-supported federal agency, NEH endeavors to make the products of its grants available to the broadest possible audience. Our goal is for scholars, educators, students, and the American public to have ready and easy access to the wide range of NEH grant products. For the Humanities Collections and Reference Resources program, such products may include reference works, digital archives, and websites. For projects that lead to the development of online resources, all other considerations being equal, NEH gives preference to those that provide free access to the public. Detailed guidance on access and dissemination matters can be found under the "Dissemination" heading in Section IV below.

II. Award Information

The maximum award for implementation projects is \$350,000, for up to three years. The maximum award for *Foundations* projects is \$40,000 for up to two years. Successful applicants will be awarded a grant in outright funds, federal matching funds, or a combination of the two, depending on the applicant's preference and the availability of NEH funds.

(Learn more about [different types of grant funding](#).)

Cost sharing

Cost sharing consists of the cash contributions made to a project by the applicant, third parties, and other federal agencies, as well as third-party in-kind contributions, such as donated services and goods. Cost sharing also includes nonfederal gift money raised to release federal matching funds.

Although cost sharing is not required, this program is rarely able to support the full costs of projects approved for funding. Humanities Collections and Reference Resources implementation grants typically cover no more than 50 to 67 percent of project costs. A 50 percent level is most likely to pertain in the case of projects that deal exclusively with the applicant's own holdings. In most cases, *Foundations* grants cover no more than 80 percent of total project costs.

III. Eligibility

U.S. nonprofit organizations are eligible, as are state and local governmental agencies and federally recognized Indian tribal governments. Individuals are not eligible to apply.

NEH generally does not award grants to other federal entities or to applicants whose projects are so closely intertwined with a federal entity that the project takes on characteristics of the federal entity's own authorized activities. This does not preclude applicants from using grant funds from, or sites and materials controlled by, other federal entities in their projects. Applicants considering the use of materials from federal entities for HCRR projects should consult with division staff before submitting a proposal.

Late, incomplete, or ineligible applications will not be reviewed.

IV. Application and Submission Information

Application advice and proposal drafts

Prior to submitting a proposal, applicants are encouraged to contact program officers, who can offer advice about preparing the proposal and review preliminary proposal drafts if they are submitted at least six weeks before the deadline. Time constraints may prevent staff from reviewing draft proposals submitted after that date. Staff comments are not part of the formal

review process and have no bearing on the final outcome of the proposal, but applicants have found them helpful in strengthening their applications. Draft proposals are optional; they should be submitted by e-mail attachment to preservation@neh.gov.

Sample narratives of funded projects are available on the [program resource page](#).

HOW TO PREPARE YOUR APPLICATION

Prepare your application for submission via Grants.gov just as you would a paper application. Your application should consist of the following parts.

1. Description of the project and its significance

Provide a one-page abstract written for a nonspecialist audience, clearly explaining the project's importance to the humanities, its principal activities, and its expected results.

2. Table of contents

List all parts of the application and, beginning with the narrative, number all pages consecutively.

3. Narrative

Limit the narrative for implementation proposals to fifteen single-spaced pages; limit the narrative for *Foundations* proposals to ten single-spaced pages. All pages should have one-inch margins and the font size should be no smaller than eleven point. Use appendices to provide supplementary material.

Individuals with a variety of professional backgrounds will read these applications and advise NEH on their merits. Project narratives should therefore be written with a minimum of technical jargon.

Keep the application review criteria (see Section V of these guidelines below) in mind when writing the narrative, which consists of the following sections.

- **Significance**

Justify the importance of the project on the basis of its long-term benefits to research, education, or public programming in the humanities. Discuss the central humanities themes, questions, or disciplines to be addressed.

For implementation projects involving **humanities collections**, describe the nature, size, and intellectual content of the selected collections; explain how they relate to similar collections, both within and external to your organization; discuss the rationale for focusing on these particular sources; and describe the selection criteria. For *Foundations* projects, provide a brief profile of the nature and importance of the sources that would be the focus of assessment or planning and include examples of materials to be used in any pilot efforts.

For proposed **reference resources** at the implementation level, define the selection criteria and explain how your project relates to existing resources. Demonstrate what this work or tool will provide that other resources cannot. For *Foundations* proposals, provide a clear conceptual vision of the scope and contents of the eventual reference resource and its relationship to other pertinent works or tools.

All proposals must discuss actual and anticipated use of the collection or reference work. Identify the audience(s) that the project would effectively serve. Provide evidence of use, when possible, through examples of outcomes such as scholarly publications, educational activities, exhibitions, or media programming.

- **History, scope, and duration**

Use this section to explain the activities leading up to the proposed project and, if relevant, the goals of the larger initiative of which it is a part. Provide a concise history of the project, including information about preliminary research or planning, financial support already received, and resources or research facilities available. If a project will take more than three years to complete, describe the scope and duration of the entire project as well as the specific accomplishments or products intended for the grant period for which funding is requested.

List any project-specific products or publications to date in print or electronic form. When appropriate, indicate print runs, sales, and royalties relating to publications; in the case of online products, include the URL and provide use statistics. If the project has been previously supported by NEH, compare the accomplishments in the current or past grant period with the intended goals.

- **Methodology and standards**

Explain the manner in which the project will be executed. Activities should conform to appropriate national standards and accepted professional practices. (Informational links to relevant standards are provided in the Frequently Asked Questions document, which is available on the [program resource page](#).) If your project's methodology departs from usual standards and procedures, explain why its goals require such an approach and how the results would be interoperable with other relevant resources that do follow existing standards.

Discuss any intellectual property or privacy issues that might affect the availability of collections or the dissemination of reference resources. Applicants should ensure that any applicable permissions, donor agreements, licenses, or proofs of informed consent have been obtained and should provide any pertinent documentation in an appendix.

Include the following, as relevant.

Projects to preserve and make accessible humanities collections

Provide information about the collections' present physical condition and level of intellectual control. Discuss the manner in which the materials will be organized or reorganized, and the ways in which users will discover and access them. Describe

pertinent strategies, policies, and procedures for collection care and service, including the environmental conditions in which collections will be held and the provisions for their use. (NEH expects that any materials proposed for support will be publicly accessible and housed in a suitable preservation environment.)

Additionally, provide the following information.

- For **archival processing** efforts, discuss the rationale for the arrangement of the collections and the level of description that will be provided. Support is generally limited to the preparation of folder-level finding aids.
- For **cataloging**, describe the level of detail of the records to be created, the record formats, vocabularies, and systems to be used, the extent to which the records will involve original, enhanced, or copy cataloging, and indicate how information will be included in relevant national or international catalog networks.
- For **conservation treatment** projects, describe the amount, types, and condition of material to be treated, and discuss how access will be enhanced; provide the rationale for the chosen approach or method; and identify applicable procedures and/or quality control measures. Include in the appendices treatment proposals and cost estimates prepared by qualified conservators.
- For projects to **digitize collections**, specify the quantity of digital objects to be made available for use; the nature, formats, and quality of the sources from which they would be derived; and the handling and care of original materials during and after reformatting.
- For projects to preserve and provide access to **born-digital sources** (materials with no analog counterpart), specify data formats; the current extent of accessibility or obsolescence; and strategies to ensure enduring use, such as migration, emulation, or harvesting.
- For projects to **create oral histories** about war and military service in conjunction with the Common Good initiative, identify interviewees, to the extent possible, and provide examples of questions to be asked. Discuss plans for preparatory research, recording equipment, interview setting, securing permissions, and post-interview preservation and access methods, such as audio streaming, transcription, or time-based indexing. For guidance, refer to the statement of [Principles and Best Practices](#) published by the Oral History Association. Interviews of military veterans should be produced so as to facilitate their inclusion in the [Veterans History Project](#) collection of the Library of Congress.

Projects to create reference works or research tools

- Indicate the content, form, and length of entries or citations and describe the **editorial procedures** for writing entries and verifying information. Include in an appendix a preliminary list of entries, organized by subject areas or

topics, and the instructions provided to contributors. As applicable, indicate how the work or tool will be revised, including the addition of new material and the updating of current content.

- Describe the lexicographical principles to be employed for a **language dictionary**.

Projects for planning, assessment, and pilot work (*Foundations* level)

- Identify any professional standards, research, or precedents that will inform the project. Discuss the knowledge and skills that the planning team needs and explain how members have been chosen and assembled. Explain how the team will gather any needed information, and provide copies (via appendices or links) of any assessment tools. Indicate the methods of communication and collaboration to be employed and the framework for decision making.
- Describe the final products and outcomes for the project and how these will guide future stages of work. Specify the nature of any testing or modeling efforts and, where possible, provide examples. If the project will produce and distribute collection information or reference resource content, identify the methods to be employed and the manner in which it will be made accessible.

If you are requesting complete or partial funding for the development, acquisition, preservation, or enhancement of geospatial data, products, or services, you must conduct a due diligence search at the Data.gov [list of datasets](#) to discover whether the needed geospatial-related data, products, or services already exist. If not, you must produce the proposed geospatial data, products, or services in compliance with applicable proposed guidance posted at www.fgdc.gov.

Proposals employing digital technology and methods should provide a number of details. Indicate not only *what* technical specifications are to be used, but also *how* they will facilitate the project. In particular, provide the following information:

- the hardware and software to be used;
- preparations for and implementation of data processing (for example, digital capture, data entry, optical character recognition, or conversion from another electronic format);
- production, preservation, and distribution formats (for example, TIFF, JPEG, PDF/A, WAV), levels of resolution, compression, image enhancement, and the accuracy of textual conversion or transcription;
- provisions for ensuring quality control;
- schema for descriptive, administrative, and preservation metadata and controlled vocabularies;

- system(s) used to manage and present digital content, including pertinent features for facilitating end use; and
- methods for enhancing discoverability, via search engine optimization and open data harvesting and/or inclusion in an aggregated resource such as a digital library, cooperative portal, or clearinghouse.

- **Sustainability of project outcomes and digital content**

Describe how the project's results will be maintained and supported beyond the period of the grant. Provide information demonstrating the ability and commitment of the institution to ensure sustained access to collections or reference resources. For *Foundations* projects, discuss the next steps that you envision as an outgrowth of the grant, and how these would be supported.

NEH's Division of Preservation and Access expects that any collections or resources produced in digital form as a result of its awards will be maintained so as to ensure their long-term availability. Discuss plans for meeting this expectation. In addition to pertinent technical specifications requested in the previous section, provide details on digital preservation infrastructure and policies, such as repository system capabilities, storage requirements and capacity, migration or emulation strategies, and collaborative or third-party arrangements, if any.

- **Dissemination**

Explain how the results of the project will be disseminated and why these means are appropriate to the subject matter and intended audience. Where applicable, identify the online systems through which researchers will discover and use finding aids, catalog information, or digital sources. NEH strongly encourages the contribution of descriptive information and digital products to cooperative networks and digital resource aggregators. If relevant, discuss publishing arrangements, publicity plans, estimated prices, and user costs. Describe plans to bring the project to the attention of the relevant communities of users through, for example, conference presentations, publication, public events, or social media.

In accordance with the Common Good initiative, NEH encourages applicants to consider ways in which the collections or resources on which a project focuses can engage the wider public in exploring the humanities. To that end, dissemination might involve activities such as sponsoring

- community humanities programming;
- reading and discussion programs;
- film screenings;
- traveling exhibitions; or

- the development of resources for K-12 educators and students. (NEH's [EDSITEment website](#) is a respected source of educational materials for the classroom. NEH encourages applicants seeking to create such resources to do so in a manner that would be appropriate for publishing on or promotion through EDSITEment.)

NEH expects grantees to provide broad access to all grant products through the Internet, on-site use, interlibrary loan, or duplication of materials at cost, insofar as the condition of the materials and intellectual property rights allow. NEH strongly encourages projects that offer free public access to online resources. All other considerations being equal, NEH will give preference to projects that provide free, online access to digital materials produced with grant funds.

- **Work plan**

Provide a clear summary of the proposed grant products and outcomes, followed by a detailed time schedule indicating benchmarks of accomplishment during each stage of the project. Divide large, complex goals into discrete objectives. For each activity, indicate who will carry out the work.

- **Staff**

Identify the members of the project's staff, including consultants and/or personnel to be hired, and summarize their duties and relevant qualifications for the tasks assigned. Be specific about their individual roles and responsibilities as they relate to project activities, the tasks that they will perform, and the aspects of the project that they will oversee. Indicate the amount of time that the principal members of the project's staff will devote to the project. If the project has an advisory board, list the names and affiliations of the board's members and explain the board's function. Provide two-page résumés for major project staff and all consultants in the appendices.

4. **History of grants**

If the project has received previous support from any federal or nonfederal sources, including NEH, list on one page the sources, dates, and amounts of these funds. If the project has a long history of support, you may group and summarize the sources and contributions.

5. **Project deliverables (only for implementation projects)**

In a separate attachment, proposals for implementation projects must include the following quantitative information, as relevant:

- the total amount of linear feet to be arranged and described;
- the number of finding aids and/or collection-level descriptions to be produced;

- the total number and type(s) of items to be cataloged (for example, books, manuscripts, photographs, broadsides, maps, artworks, artifacts, audio or video tapes or disks);
- the total number and type(s) of items to be digitized;
- the total number of hours of sound recordings or moving images to be preserved and made available (if both types are included in the project, provide separate numbers for each type);
- the total number of individual records or entries to be created for a database, encyclopedia, historical dictionary, or cartographic resource: and
- the number and type of any other quantifiable products expected as a result of the grant.

6. List of participants

On a separate page, list in alphabetical order, surnames first, all project participants and collaborators and their institutional affiliations. As relevant, this list should include advisory board members, consultants, and authors of letters of commitment and letters of support. Because these individuals may not participate in the review process, this list is used to ensure that prospective evaluators have no conflict of interest with the projects that they will assess.

7. Budget

Using the instructions and the sample budget, complete the budget form or a format of your own that includes all the required information. You can find links to the budget instructions, sample budget, and budget form on the [program resource page](#).

If the applicant institution is claiming indirect costs, submit a copy of its current federally negotiated indirect-cost rate agreement. Do not attach the agreement to your budget form. Instead you must attach it to Form 5, the Budget Narrative Attachment Form. (See the instructions for Form 5 in the Application Checklist at the end of this document.)

Alternatively, you must attach a statement to Form 5, explaining a) that the applicant institution is not claiming indirect costs; b) that the applicant institution does not currently have a federally negotiated indirect-cost rate agreement; or c) that the applicant institution is using the government-wide rate of up to 10 percent of the total direct costs, less distorting items (including but not limited to capital expenditures, participant stipends, fellowships, and the portion of each subgrant or subcontract in excess of \$25,000).

All items should be justified by the narrative. Provide further explanation as needed in notes appended to the budget. For any outsourced work, third-party contractor costs should be included in the budget category “Services.” Attach a complete itemization of these costs to the budget form. If there is more than one contractor, each one must be listed (as a separate line item under “Services”) on the budget form and the costs must be itemized separately.

To the maximum extent practical, all procurement contracts must be made through an open and free competition. They are to be awarded to the bidder whose proposal offers the best value, considering price, quality, and other factors. Applicants must justify procurement contracts in excess of \$100,000 that are not awarded by competitive bids or offers.

Permanent equipment may be purchased for a project if an analysis demonstrates that purchasing is more economical and practical than leasing. Permanent equipment is defined as nonexpendable personal property costing \$5,000 or more and having a useful life of more than one year.

Consistent with the Buy American Act (41 U.S.C. 10a-c and Public Law 105-277), grantees and subrecipients who purchase equipment and products with grant funds should purchase only American-made equipment and products.

8. Appendices

Appendices should show the final or anticipated form of the project or illustrate the experience of the project's staff in doing comparable work, for example, bibliographic records, catalog entries, finding aids, entries for encyclopedias or dictionaries, results of specific queries to databases, screenshots for Web interfaces, instructions to contributors, audio files and images, and conservators' reports. **They should be selective, concise, and specific to the project.** Reviewers are unlikely to respond favorably to lengthy appendices.

As applicable, use the appendices to provide

- sample materials and reports (restrict these to summaries or excerpts where possible; hyperlinks to online versions may also be used in the narrative);
- documentation of permissions, donor agreements, licenses, or proofs of informed consent;
- for conservation treatment projects, treatment proposals and cost estimates prepared by qualified conservators;
- for projects to create reference works or research tools, a preliminary list of entries, organized by subject areas or topics, and the instructions provided to contributors;
- for projects at the *Foundations* level, copies of any tools to be used for assessment of collections;
- subcontracts or bid documentation from outside service providers;
- **brief** résumés (no longer than two pages) for staff with major responsibilities for the project's implementation and for consultants to the project;
- job descriptions for any additional staff who will be hired specifically to work on the project;

- letters of commitment from the principal cooperating participants or partners, both within and outside the parent institution; and
- letters of support (ideally no more than three) from experts in the project's subject area (and, if necessary, its proposed methodology).

HOW TO SUBMIT YOUR APPLICATION

The application must be submitted to Grants.gov. Links to the Grants.gov application package and instructions for preparing and submitting the package can be found on the [program resource page](#). Information on how to confirm that you successfully submitted your application is available [here](#) (PDF).

HOW TO SUBMIT SUPPLEMENTARY MATERIALS

If you are sending supplementary materials (those that cannot be scanned and converted to an electronic form and submitted via Grants.gov), please include a list of the supplementary materials in the application's table of contents, with an indication that the materials are being sent separately. The supplementary materials should be sent to the following address:

Humanities Collections and Reference Resources
Division of Preservation and Access
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
202-606-8570

NEH continues to experience lengthy delays in the delivery of mail by the U.S. Postal Service, and in some cases materials are damaged by the irradiation process. We recommend that supplementary materials be sent by a commercial delivery service to ensure that they arrive intact by the receipt deadline.

Deadlines

Applications must be received by Grants.gov by **11:59 p.m. (Eastern Time), Tuesday, July 21, 2015**. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after that date will not be accepted. Supplementary materials must also arrive at NEH on or before July 21, 2015, to be considered as part of the application.

V. Application Review

Evaluators are asked to apply the following criteria in assessing applications:

- the project's significance for supporting scholarly research, education, or public programming in the humanities;

- the soundness of the proposed methodology, including the selection criteria where applicable and the project's adherence to accepted national standards and professional practices, especially those that would contribute to making grant products interoperable with related resources and facilitate their discovery;
- the specificity and utility of the proposed grant products and outcomes, and the viability of the project, as indicated by the work plan;
- the soundness of plans for sustaining project outcomes, including digital content; for *Foundations* projects, the appropriateness of the next steps in the undertaking, and their likely viability;
- the qualifications of the project's staff and suitability of the staffing arrangements;
- the quality of the project's plans for disseminating information about and providing access to grant products; and
- the reasonableness of the proposed budget in relation to anticipated results.

Review and selection process

Knowledgeable persons outside NEH will read each application and advise the agency about its merits. NEH staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH chairman on grants. The chairman takes into account the advice provided by the review process and, by law, makes all funding decisions. More details about NEH's review process are available [here](#).

VI. Award Administration Information

Applicants will be notified of the decision by e-mail in March 2016. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail in April 2016. Award documents will identify the relevant terms, conditions, and administrative requirements that pertain to successful applications. The [Grant Management](#) section of the NEH website outlines all the responsibilities of award recipients, including anti-lobbying restrictions, in great detail. Applicants may obtain the evaluations of their applications by sending a letter to NEH, Division of Preservation and Access, 400 Seventh Street, S.W., Washington, D.C. 20506, or an e-mail message to preservation@neh.gov.

VII. Points of Contact

If you have questions about the program, contact:

Humanities Collections and Reference Resources
Division of Preservation and Access
National Endowment for the Humanities

400 Seventh Street, SW
Washington, DC 20506
preservation@neh.gov

If you need help using Grants.gov, refer to

Grants.gov: www.grants.gov
Grants.gov help desk: support@grants.gov
Grants.gov customer support tutorials and manuals:
<http://www.grants.gov/web/grants/applicants/applicant-tools-and-tips.html>
Grants.gov support line: 1-800-518-GRANTS (4726)

VIII. Other Information

Privacy policy

Information in these guidelines is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.

Application completion time

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates that the average time to complete this application is fifteen hours per response. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed, and completing and reviewing the application.

Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the completion time, to the Chief Guidelines Officer, at guidelines@neh.gov; the Office of Publications, National Endowment for the Humanities, Washington, DC 20506; and the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, DC 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number.

APPLICATION CHECKLIST

- ☐ **Verify and if necessary update your institution's Entity record, or create an Entity record for your institution, at the System for Award Management (SAM).** Complete at least four weeks before the deadline.
- ☐ **Verify your institution's registration or register your institution with Grants.gov.** Complete at least two weeks before deadline.

- **Download the application package from Grants.gov.** The [program resource page](#) on NEH’s website has a direct link to the package. Alternatively, you can search Grants.gov for this program. The program resource page also has a direct link to the instructions for completing the package.
- **Complete the following forms contained in the Grants.gov application package.**
 1. Application for Federal Domestic Assistance - Short Organizational
 2. Supplementary Cover Sheet for NEH Grant Programs
 3. Project/Performance Site Location(s) Form
 4. Attachments Form—Using this form, attach the parts of your application as described in the guidelines:

ATTACHMENT 1: Description of the project and its significance (name the file “projectdescription.pdf”)

ATTACHMENT 2: Table of contents (name the file “contents.pdf”)

ATTACHMENT 3: Narrative (name the file “narrative.pdf”)

ATTACHMENT 4: History of grants (name the file “granthistory.pdf”)

ATTACHMENT 5: Project deliverables (**only for implementation projects**; name the file “deliverables.pdf”)

ATTACHMENT 6: List of project participants, consultants, and advisers (name the file “participants.pdf”)

ATTACHMENT 7: Budget (name the file “budget.pdf”)

ATTACHMENT 8: Appendices (name the file “appendices.pdf”)
 5. Budget Narrative Attachment Form—Using this form, attach **only** a copy of the applicant institution’s current federally negotiated indirect-cost rate agreement (or an explanation why you are not attaching such an agreement). (See the Grants.gov instructions for institutional applicants, which are available on the [program resource page](#), for additional information.)

Your attachments must be in Portable Document Format (.pdf). We cannot accept attachments in their original word processing or spreadsheet formats. If you don’t already have software to convert your files into PDFs, many low-cost and free software packages will do so. You can learn more about converting documents into PDFs [here](#).

Upload your application to Grants.gov. NEH **strongly** suggests that you submit your application no later than 5:00 p.m. Eastern Time on the day of the deadline. Doing so will leave

you time to contact the Grants.gov help desk for support, should you encounter a technical problem of some kind. The Grants.gov help desk is now available seven days a week, twenty-four hours a day (except on [federal holidays](#)), at 1-800-518-4726. You can also send an e-mail message to support@grants.gov.

Information on how to confirm that you successfully submitted your application to Grants.gov is available [here](#) (PDF).